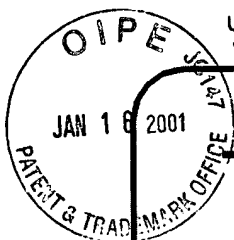


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Total Number of Pages in This Submission

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Application Number

09/721,507

Filing Date

November 22, 2000

First Named Inventor

Joseph A. Affholter

Group Art Unit

Unassigned

Examiner Name

Unassigned

Attorney Docket Number

02-104244US

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Response
 - ☐ After Final
 - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Additional Enclosure(s) (please identify below):

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Please charge Deposit Account No. 50-0893 for any additional fees associated with this paper or during the pendency of this application, including any extensions of time for consideration of the documents enclosed.

Remarks

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Firm
or
Individual name

Jonathan Alan Quine Reg. No. 41,261 The Law Offices of Jonathan Alan Quine

Signature

Jonathan Alan Quine

Date

January 11, 2001

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The Law Offices of Jonathan Alan Quine

By Alexandra Allison
Alexandra Allison

Attorney Docket No. 02-104244US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Joseph A. Affholter, *et al.*

Application No.: 09/721,507

Filed: November 22, 2000

For: Single-Stranded Nucleic acid
Template-Mediated recombination and
nucleic acid fragment isolation

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR § 1.97 and
§ 1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The references cited on attached PTO-1449 forms are being called to the attention of the Examiner to make of record references cited in parent application USSN 09/656,549 filed September 6, 2000. Pursuant to 37 CFR § 1.98(d), copies of references cited in parent application USSN 09/656,549 filed September 6, 2000 are not provided. However the applicants will gladly provided fresh copies of any references requested by the Examiner. It is respectfully requested that the cited information on the previously submitted 1449 forms



for application USSN 09/656,549 filed September 6, 2000 be expressly considered during the prosecution of this application, and that references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 50-0893. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

Jonathan A. Quine
Reg. No. 41,261

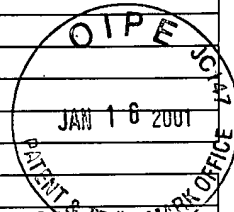
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Substitute for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>	Complete if Known	
	Application Number	09/656549 09/721,507
	Filing Date	September 6, 2000
	First Named Inventor	Joseph A. Affholter
	Group Art Unit	1645
	Examiner Name	Unassigned
	Attorney Docket Number	02-104240US



U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appeal
		Number	Kind Code (if known)			
	AA	5,512,463		Stemmer	04-30-1996	
	AB	5,514,588		Varadaraj	05-07-1996	
	AC	5,605,793		Stemmer	02-25-1997	
	AD	5,763,239		Short et al.	06-09-1998	
	AE	5,789,228		Lam et al.	08-04-1998	
	AF	5,811,238		Stemmer et al.	09-22-1998	
	AG	5,814,473		Warren et al.	09-29-1998	
	AH	5,824,469		Horwitz et al.	10-20-1998	
	AI	5,830,696		Short	11-03-1998	
	AJ	5,830,721		Stemmer et al.	11-03-1998	
	AK	5,834,252		Stemmer et al.	11-10-1998	
	AL	5,837,458		Minushull et al.	11-17-1998	
	AM	5,866,363		Pieczenik	02-02-1999	
	AN	5,876,997		Kretz	03-02-1999	
	AO	5,925,749		Mathur, et al.	07-20-1999	
	AP	5,928,905		Stemmer, et al.	07-27-1999	
	AQ	5,939,250		Short, Jay M.	08-17-1999	
	AR	5,939,300		Robertson, et al.	08-17-1999	
	AS	5,942,430		Robertson, et al.	08-24-1999	
	AT	5,948,666		Callen, et al.	09-07-1999	
	AU	5,958,672		Short, Jay M.	09-28-1999	
	AV	5,958,751		Murphy, et al.	09-28-1999	
	AW	5,962,258		Mathur, et al.	10-05-1999	
	AX	5,962,283		Warren et al.	10-05-1999	
	AY	5,965,408		Short, Jay M.	10-12-1999	
	AZ	5,985,646		Murphy, et al.	11-16-1999	
	BA	6,001,574		Short et al.	12-14-1999	
Examiner Signature				Date Considered		

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Complete if Known	
	Application Number	09/656549 09/721,507
	Filing Date	September 6, 2000
	First Named Inventor	Joseph A. Affholter
	Group Art Unit	1645
	Examiner Name	Unassigned
	Attorney Docket Number	02-104240US

	BB	6,004,788		Short	12-21-1999	
	BC	6,030,779		Short	02-29-2000	
	BD	6,054,267		Short	04-25-2000	
	BE	6,117,679		Stemmer	09-12-2000	
	BF	6,096,548		Stemmer	08-01-2000	
	BG	6,132,970		Stemmer	10-17-2000	

FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)				
	BH	WO	97/07205		Novo Nordisk A/S	02-27-1997		
	BI	WO	97/20078		Affymax Technologies	06-05-1997		
	BJ	WO	97/25410		Novo Nordisk A/S	07-17-1997		
	BK	WO	97/35957		Maxygen, Inc.	10-02-1997		
	BL	WO	97/35966		Maxygen, Inc.	10-02-1997		
	BM	WO	97/44361		Recombinant Biocatalysis Inc.	11-27-1997		
	BN	WO	97/48416		Recombinant Biocatalysis, Inc.	12-24-1997		
	BO	WO	97/48717		Recombinant Biocatalysis Inc	12-24-1997		
	BP	WO	97/48794		Recombinant Biocatalysis Inc	12-24-1997		
	BQ	WO	98/00526		Recombinant Biocatalysis Inc	01-08-1998		
	BR	WO	98/01581		Recombinant Biocatalysis Inc	01-15-1998		
	BS	WO	98/13485		Maxygen, Inc.	04-02-1998		
	BT	WO	98/13487		Maxygen, Inc.	04-02-1998		
	BU	WO	98/24799		Diversa Corp.	06-11-1998		
	BV	WO	98/27230		Maxygen, Inc.	06-25-1998		

Examiner Signature		Date Considered	
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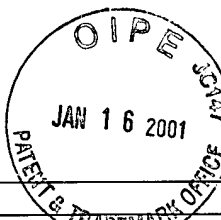
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	Application Number	09/656549 09/721, 307
	Filing Date	September 6, 2000
	First Named Inventor	Joseph A. Affholter
	Group Art Unit	1645
	Examiner Name	Unassigned
	Attorney Docket Number	02-104240US

	BW	WO	98/28416		Novo Nordisk A/S	07-02-1998		
	BX	WO	98/31837		Maxygen, Inc.	07-23-1998		
	BY	WO	98/36080		Maxygen, Inc.	08-20-1998		
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	CB	WO	98/41653		Novo Nordisk A/S	09-24-1998		
	CC	WO	98/42832		California Institute of Technology	10-01-1998		
	CD	WO	98/48034		Diversa Corp.	10-29-1998		
	CE	WO	98/58085		Diversa Corp.	12-23-1998		
	CF	WO	99/07837		Diversa Corp.	02-19-1999		
	CG	WO	99/08539		Diversa Corp.	02-25-1999		
	CH	WO	99/10472		Diversa Corp.	03-04-1999		
	CI	WO	99/10539		Diversa Corp.	03-04-1999		
	CJ	WO	99/19518		Diversa Corp.	04-22-1999		
	CK	EP	0911396A2		Maxygen, Inc.	04-28-1999		
	CL	WO	99/21979		Maxygen, Inc.	05-06-1999		
	CM	EP	0911396A3		Maxygen, Inc.	05-06-1999		
	CN	WO	99/23107		Maxygen, Inc.	05-14-1999		
	CO	WO	99/23236		Diversa Corp.	05-14-1999		
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	CQ	WO	99/41368		Maxygen, Inc.	08-19-1999		
	CR	WO	99/41369		Maxygen, Inc.	08-19-1999		
	CS	WO	99/41383		Maxygen, Inc.	08-19-1999		
	CT	WO	99/41402		Maxygen, Inc.	08-19-1999		
	CU	WO	99/45154		Diversa Corp.	09-10-1999		
	CV	WO	99/57128		Maxygen, Inc.	11-11-1999		
	CW	WO	99/65927		Maxygen, Inc.	12-23-1999		

Examiner Signature		Date Considered	
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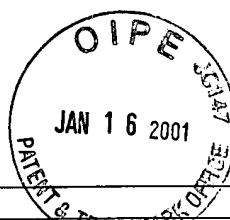
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Approved for use through 10/31/99. OMB 0651-0031

Substitute for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Complete if Known	
	Application Number	09/656549 09/721,507
	Filing Date	September 6, 2000
	First Named Inventor	Joseph A. Affholter
	Group Art Unit	1645
	Examiner Name	Unassigned
	Attorney Docket Number	02-104240US

Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
	CX	Chang, C., et al. (1999) "Evolution of a cytokine using DNA family shuffling." <u>Nature Biotechnology</u> 17:793-797.	
	CY	Christians, F.C. et al., (1999) "Directed evolution of thymidine kinase for AZT phosphorylation using DNA family shuffling." <u>Nature Biotechnology</u> 17:259-264.	
	CZ	Cramer et al., (1993) "10(20)-Fold aptamer library amplification without gel purification," <u>Nuc. Acids Res.</u> 21(18):4410.	
	DA	Cramer, A. & Stemmer W.P.C. (1995) "Combinatorial multiple cassette mutagenesis creates all the permutations of mutant and wildtype cassettes." <u>Biotechniques</u> 18:194-195.	
	DB	Cramer, A. et al. (1996) "Improved green fluorescent protein by molecular evolution using DNA shuffling." <u>Nature Biotechnology</u> 14:315-319.	
	DC	Cramer, A. et al. (1996) "Construction and evolution of antibody-phage libraries by DNA shuffling." <u>Nature Medicine</u> 2:100-103.	
	DD	Cramer, A. et al., (1997) "Molecular evolution of an arsenate detoxification pathway by DNA shuffling." <u>Nature Biotechnology</u> 15:436-438	
	DE	Cramer, A. et al., (1998) "DNA shuffling of a family of genes from diverse species accelerates directed evolution." <u>Nature</u> 391:288-291.	
	DF	Gates, C.M. et al., (1996) "Affinity selective isolation of ligands from peptide libraries through display on a lac repressor 'headpiece dimer'." <u>Journal of Molecular Biology</u> 255:373-386.	
	DG	Minshull, J., Stemmer, W.P.C. (1999) "Protein evolution by molecular breeding." <u>Current Opinion in Chemical Biology</u> 3:284-290.	
	DH	Ness, J. et al., (1999) "DNA shuffling of subgenomic sequences of subtilisin." <u>Nature Biotechnology</u> 17:893-896.	
	DI	Patten, P.A. et al., (1997) "Application of DNA Shuffling to Pharmaceuticals and Vaccines." <u>Current Opinion in Biotechnology</u> 8:724-733.	
	DJ	Stemmer, W.P.C. (1994) "DNA Shuffling by random fragmentation and reassembly: In vitro recombination for molecular evolution." <u>PNAS</u> 91:10751	
	DK	Stemmer, W.P.C. (1994) "Rapid evolution of a protein in vitro by DNA shuffling." <u>Nature</u> 370:389-391.	
	DL	Stemmer, W.P.C. (1995) "The Evolution of Molecular Computation." <u>Science</u> 270:1510	
	DM	Stemmer, W.P.C. (1995) "Searching Sequence Space." <u>Bio/Technology</u> 13:549-553.	
	DN	Stemmer, W.P.C. (1996) "Sexual PCR and Assembly PCR." In: <u>The Encyclopedia of Molecular Biology</u> . VCH Publishers, New York. pp. 447-457.	
Examiner Signature			Date Considered

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Substitute for form 1449A-B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)	Complete if Known	
	Application Number	09/656549 09/721,507
	Filing Date	September 6, 2000
	First Named Inventor	Joseph A. Affholter
	Group Art Unit	1645
	Examiner Name	Unassigned
	Attorney Docket Number	02-104240US

DO	Stemmer, W.P.C. & Soong, N.W. (1999) "Molecular breeding of viruses for targeting and other clinical properties." <i>Tumor Targeting</i> 4:59-62.	
DP	Zhang, J. et al., (1997) "Directed evolution of an effective fucosidase from a galactosidase by DNA shuffling and screening." <i>Proceedings of the National Academy of Sciences, USA</i> 94:4504-4509.	

Examiner Signature		Date Considered	
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	Filing Date	September 6, 2000
	First Named Inventor	Joseph A. Affholter
	Group Art Unit	Unassigned
	Examiner Name	Unassigned
	Attorney Docket Number	02-104240US

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appeal
		Number	Kind Code (if known)			

FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)				
		WO	00/00632		Phylos, Inc.	01-06-2000		
		WO	00/09679		Proteus	02-24-2000		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T

Examiner Signature		Date Considered	
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